



Attorney Docket: 11197/15

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: SATO, et al.

Application No.: 10/581,046

Filing Date: May 30, 2006

Art Unit: Unknown

Examiner: Unknown

For: THERMOPLASTIC RESIN COMPOSITION FOR MASTERBATCHES, METHOD OF PRODUCING MOLDING MATERIAL THEREOF, AND THERMOPLASTIC RESIN COMPOSITION USING THEM AND METHOD OF PRODUCTION THEREOF

**Mail Stop Missing Parts**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**

Sir:

In response to the Notification of Missing Requirements mailed January 18, 2007 in the above-identified application, submitted herewith is a Declaration and Power of Attorney for Patent Application signed by all the joint inventors except Mr. Shigeru Yasuda, who refuses to sign. Accordingly, a Petition under 37 C.F.R. 1.47(a), a Statement of Facts in Support of Petition under 37 C.F.R. 1.47(a), and documentary evidence are included herewith. A copy of the Notification is also included.

Additionally, submitted herewith are an Assignment signed by all the joint inventors except Mr. Shigeru Yasuda, who refuses to sign as indicated in the Statement of Facts, and a Recordation Form Cover Sheet.

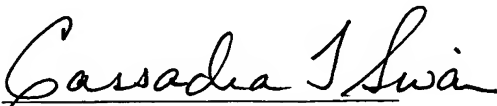
The U.S. Patent and Trademark Office is authorized to charge any fees or credit any overpayment associated with this filing under 37 C.F.R. 1.16 or 1.17 to Deposit Account 11-0600.

03/19/2007 LLANDGRA 00000028 110600 10581046  
01 FC:1617 130.00 DA

Respectfully submitted,  
KENYON & KENYON LLP

Dated: March 16, 2007

By:

  
Cassandra T. Swain, Ph.D.  
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UNITED STATES PATENT AND TRADEMARK OFFICE

MAR 16 2007

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
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U.S. APPLICATION NUMBER NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

10/581,046

Maki Sato

11197/15

INTERNATIONAL APPLICATION NO.

PCT/JP04/18266

I.A. FILING DATE

PRIORITY DATE

12/08/2004

12/09/2003

23838

KENYON &amp; KENYON LLP

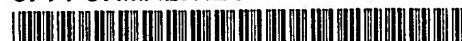
1500 K STREET N.W.

SUITE 700

WASHINGTON, DC 20005

CONFIRMATION NO. 6773

371 FORMALITIES LETTER



\*OC000000022023158\*

Date Mailed: 01/18/2007

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 05/30/2006
- English Translation of the IA filed on 05/30/2006
- Copy of the International Search Report filed on 05/30/2006
- Preliminary Amendments filed on 05/30/2006
- Information Disclosure Statements filed on 05/30/2006
- Request for Immediate Examination filed on 05/30/2006
- U.S. Basic National Fees filed on 05/30/2006
- Priority Documents filed on 05/30/2006

1-23-07  
 209

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$130** for a Large Entity:

- \$130 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

MAMIE P PERSON

Telephone: (703) 308-9140 EXT 227

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/581,046	PCT/JP04/18266	11197/15

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**

MAR 16 2007

Effective 10/1/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 370.00**Complete if Known**

Application Number	10/581,046
Filing Date	May 30, 2006
First Named Inventor	Maki SATO, et al.
Examiner Name	Unassigned
Art Unit	Unassigned
Attorney Docket No.	11197/15

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None  
Order
☒ Deposit Account:

Deposit Account Number 11-0600

Deposit Account Name Kenyon &amp; Kenyon LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) or any underpayment of fee(s)  
☒ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$) 0

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
-20 **	=	18	
Independent Claims -3 **	=	88	
Multiple Dependent	X	0	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	88	2201	44	Independent claims in excess of 3
1203	300	2203	150	Multiple dependent claim, if not paid
1204	88	2204	44	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	130
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	120	2251	60	Extension for reply within first month	
1252	450	2252	225	Extension for reply within second month	
1253	1,020	2253	510	Extension for reply within third month	
1254	1,590	2254	795	Extension for reply within fourth month	
1255	2,160	2255	1,080	Extension for reply within fifth month	
1401	500	2401	250	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) Petition fee under 37 CFR 1.17(g)

200

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 370.00

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Cassandra T. Swain, Ph.D.	Registration No. (Attorney/Agent)	48,361	Telephone	202.220.4200
Signature	<i>Cassandra T. Swain</i>			Date	March 16, 2007

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.